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**A MODEL OF PERFORMANCE MANAGEMENT SYSTEM FOR MALAYSIAN
PUBLIC UNIVERSITY**

By

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Thesis submitted to

Othman Yeop Abdullah Graduate School of Business

Universiti Utara Malaysia

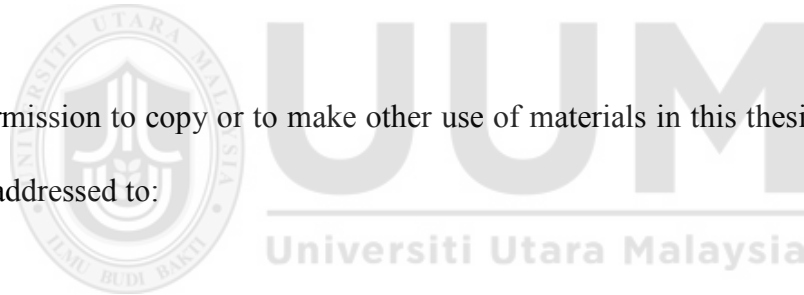
In Fulfilment of the Requirement for the Master of Human Resource Management

(MHRM)

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Abstract

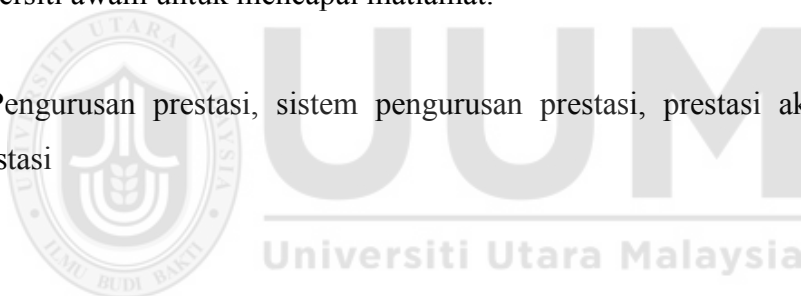
The proper implementation of performance management system in an educational institution could enhance the growth and development of its faculty members, which will positively reflect on the whole institution. This study analyses the usage of performance management system for academicians in Malaysian's Public Universities and its influence on their drive and general performance. It also determines the perception of the academicians on the accuracy and fairness on the process of performance management system. Interviews have been conducted using purposive sampling with Registrar, Head of Faculty and academicians reveals that the effects of performance management system will reflect the success of the universities. Therefore, based on the suggestions from literature reviews and interviews conducted, a model has been proposed in this study to help public universities to achieve goals as well as to manage performance management system for academicians to improve its overall performance.

Keywords: Performance management, performance management system, academician's performance, performance management model

ABSTRAK

Pelaksanaan sistem pengurusan prestasi yang efektif dalam institusi pendidikan dapat meningkatkan pertumbuhan dan perkembangan pensyarah dan seterusnya akan memberi impak secara positif kepada keseluruhan institusi. Kajian ini menganalisis penggunaan sistem pengurusan prestasi ahli akademik di Universiti Awam Malaysia dan pengaruh terhadap pemangkin prestasi pensyarah. Ia juga menentukan persepsi para pensyarah mengenai ketepatan dan keadilan sistem penilaian prestasi. Temubual yang dijalankan menggunakan kaedah persampelan bertujuan dengan Pendaftar, Ketua Fakulti dan pensyarah mendedahkan bahawa sistem pengurusan prestasi yang berkesan akan mencerminkan kejayaan universiti. Oleh itu, berdasarkan kajian literatur dan cadangan dalam temubual, model yang dicadangkan dalam kajian ini akan membantu universiti awam menguruskan sistem pengurusan prestasi yang bersesuaian dengan pensyarah dalam meningkatkan prestasi keseluruhannya serta membantu universiti awam untuk mencapai matlamat.


Kata kunci: Pengurusan prestasi, sistem pengurusan prestasi, prestasi akademik, model pengurusan prestasi



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LIST OF ABRIVATIONS



UUM
Universiti Utara Malaysia

KPIs	Key Performance Indicator
PMS	Performance Management System
UM	University Malaya
UPM	Universiti Putra Malaysia
UKM	Universiti Kebangsaan Malaysia
UPNM	Universiti Pertahanan Nasional Malaysia
USIM	Universiti Sains Islam Malaysia

CHAPTER 1

INTRODUCTION

1.1 Background of the Study

Performance management is one key area of public administration reform. The Malaysian government highlight on the performance management in early 2005 and aims to upgrade the quality of delivery services at Government agencies. As stated in the Development Administration Circular 2/2005, key performance indicator (KPIs) is one of the techniques used to improve service delivery systems and is useful as a measuring tool for continuous improvement simply by focusing on outcomes or impacts rather than processes. This is because performance management is an integral part of the public service delivery mechanism. It is a process by which a public organization can assess whether it is delivering the right services—according to its mission and objectives—in the right amount, at the right cost, and at the right time (Bouckaert & Halligan, 2008). Hence, the need for a good Performance Management System (PMS) further emphasized effectively to improve the performance of the public sector.

Referring to the above matter, especially in the Education field, the Education Blueprint for Higher Education that launched on April 2015 had set new targets such as to improve tertiary enrolment rates, to increase graduate employability and to increase international students. As a part to materialize

the blueprint, the Malaysian government has given the part of its authority over the higher education to individual institutions respectively to meet certain standards in a national regulatory framework. Public and private universities are given greater opportunities of decision-making and, with this autonomy, institutions will be able to respond quickly to global education and trends.

Unfortunately, top Malaysian universities perform relatively poor in global rankings. As an immediate action, further action and initiative to improve university performance should be adopted (The World Bank, 2011). As an economic change, universities have to be proactive in planning and controlling their activities as they have to be responsible and accountable to the stakeholders. PMS is workable as a means to implement strategy, align behaviours and support decision-making to drive this objective.

Therefore, the need to reform PMS in universities is associated with stakeholder demands and the desire to achieve high rankings in worldwide university classification. The greater competitions lead to the highly significant relationship between the stages of PMS development and its performance (Lee and Yang, 2011). It has been proven that PMS is applicable and critically needed in public sector management especially in higher education.

1.2 Problem Statement

Nowadays, there are many organizations that are relying on employees for success and competitiveness. According to the Idris (2016), universities' achievement depends on the commitment and contribution from all parties especially the academicians.

Consequently, universities need to figure out the strategies for identifying, encouraging, measuring, evaluating, improving and rewarding academician's performance at work. According to this respect, performance management plays an important role in helping organizations to achieve their goals of productivity (Stevens & Joyce, 2000). Head of Faculty and Deans are responsible in managing the performance of their faculty's academicians. Each university policy should specify on how the PMS will be carried out. Universities also should adopt performance management practices that are consistent with the requirements of this policy and best fit with the nature of the work performed along with the mission of the universities.

There are 27 universities in Malaysia listed for 2018 based on the publication of the university's annual ranking (QS World University Ranking, 2018). Universiti Malaya becomes the 1st top best university in Malaysia, but 24th in Asia ranking. It is followed by Universiti Putra Malaysia, as the 2nd top university in Malaysia, but 36th in Asia ranking. Universiti Kebangsaan Malaysia is in 3rd place in Malaysia, but 43rd in Asia ranking, followed by

Universiti Sains Malaysia for 4th place in Malaysia, but 46th in Asia ranking and Universiti Teknologi Malaysia for 5th place in Malaysia, but 49th in Asia ranking.

Based on the Asia ranking, it is shown that Malaysia's universities are struggling to be part of the top 10 in Asia ranking. The annual ranking will enable the universities to measure their strength and benefits. Furthermore, the universities able to improve their performance and encourage to increase the ranking. Achievement or reputation from various fields, a list of researchers produced, books and journals published and a number of postgraduate students, including international student enrolls in the university are the criteria used by rating agencies to evaluate the university ranking (Utusan Online, 2016).

To transform the target achievement into actions, a comprehensive performance management system will enable the universities to set the goals in parallel with the ability of academicians. Nonetheless, the dissatisfaction among academicians may be the result of ignoring the actual reason for having the performance management. This is due to the lack of a comprehensive core attributes that are being measured. It also caused by the lack of effectiveness in utilizing the feedback gathered through the processes or the reward that are given to the appraisee after the evaluation was done. According to Sheillah and Lufuno (2017), in their study found that the poor implementation, ineffective process of performance management system, lack of knowledge and less understanding of PMS implementation relate to this

dissatisfaction. Based on this reason, the academicians have a negative feedback towards the implementation of PMS.

The aim of this study is to develop a PMS model of the academicians for public universities in Malaysia to manage institutional performance. The specific objective is to explore the efforts made by the identified universities in maximizing performance through the strengths and weaknesses of PMS. Secondly, it detailed out the process of coming up with the PMS in a concerted effort to achieve the universities mission and vision. Thirdly, this study seeks to explore and to understudy the satisfaction of academicians in using a PMS in universities by identifying the gap of the evaluating.

1.3 Research Questions

The specific objectives are as follows:

- a) What is the strength and the weaknesses performance management system in public universities?
- b) What are the key components of performance management that could be adopted by public universities in Malaysia to manage institutional performance?
- c) What kind of performance management model that is most suitable to manage the performance of academicians?

1.4 Research Objectives

- a) To explore the strength and the weaknesses performance management system in public universities
- b) To identify the key components of performance management adopted by public universities in Malaysia to manage institutional performance
- c) To propose a model of performance management system that is most suitable to manage the performance of academicians.

1.5 Scope and Limitation of the Study

This study will concentrate on the role of the PMS process that have been used by public universities in Malaysia. The use of PMS is excellent in managing the academicians' performance, as it can be identified to ensure no issues arise or lacking in assessing and also to ensure the accurate result. This result will affect the reward and motivation of the academicians if the PMS has weaknesses.

Essentially, it was found that several aspects limitation as follows:

- i. This study was limited to the process, strength, weaknesses and feedback from the employee towards the PMS in public universities in Malaysia context.
- ii. This study is not conducted to all universities in public sector areas, as it only covers 5 public universities which is University Malaya (UM), Universiti Putra Malaysia (UPM), Universiti Kebangsaan Malaysia

(UKM), Universiti Pertahanan Nasional Malaysia (UPNM) and Universiti Sains Islam Malaysia (USIM). Therefore, to generalize the results for larger scales, this study should have involved all public universities in Malaysia.

1.6 Significance of Study

The study was intended to identify the effectiveness of performance management system in the organization. The performance management process itself is a going affair and to some it has become a routine that is taken for granted. Therefore the findings may help to point out at what stage of the process can be improved in ensuring that the system is utilized as it was intended to be. It will help Human Resource practitioners to continually influence the management that PMS is part of the strategic planning for the overall success of the university. The findings of this study will build on the management style perspective and also on the intended results in using the PMS.

1.7 Definition of Key Terms

1.7.1 Individual or organization's objective

Specific targets on which individuals and departments focus to make sure the organization achieves its goals or business plan.

1.7.2 Performance Management System

The term of performance management system refers to all the routine process in evaluating performance. The performance management system is a tool, the intended results from the utilization of the tool may be different from one organization to another and expectation from employees differ from each other. Performance management is setting up of objective to the monitoring, appraising, reward, recognition and employee development. Meanwhile 'System' means an inner workings of an organization such as its policies for welfare and benefits, compensation, career development, selection process and its procedure of conducting certain job.

1.7.3 Performance Appraisal

It is a routine appraisal, done normally yearly (at the end of financial year) through a standard format by an immediate supervisor.

1.8 Organization of the Thesis

Chapter one includes an introduction, followed by a background of research, problem statements, research objectives, research questions, scope and limitation of the research, and definition of the term for this study. Chapter two will provide a detailed review of the literature on performance management system, performance management system issues and criteria performance management and chapter three includes a research framework and highlights the methodology adopted for data collection and analysis. This chapter also addressed sampling procedure and techniques. The chapter is concluded by highlighting techniques employed in data analysis and chapter four presents research results and a comprehensive discussion of the results. Finally, chapter five provides the conclusion and summary of the main findings, research implications, limitations, and recommendations.

CHAPTER 2

LITERATURE REVIEW

2.1 Introduction

This chapter explores the literature on the performance management process, performance management system and the satisfaction of performance management system among academicians in universities. It also provides an insight into the theoretical backgrounds and past studies that comprises the main focus of the research described in this thesis.

2.2 Definition of Performance Management

Performance management is an effort of managing the performance of staff and the overall performance of the organization to meet the organizational goal (Sheillah & Lufuno, 2017). It is a cycle that includes the setting of objective, planning the performance, coaching and counselling, evaluating the level of achievement and determining the reward. The cycle does not stop at paying the reward. It continues by evaluating the staff's development progress and planning for their career advancement. Performance management process help organization to examine gaps in knowledge, skills, attitude and competency level of employees. Then, to make an action plan for developing the skills and knowledge for enhancement plan.

Performance management is thus, a process within the Human Resource Management in ensuring the achievement of the organisational objective i.e. overall target of the organisation. It is the whole effort of managing performance so that the organizational result can be achieved. It is a process in ensuring the organizational effectiveness in general. When performance is properly managed, the organizational effectiveness is assured. Performance management is the binding force between employees as an asset and the results which the organization wishes to achieve in its business.

2.3 Definition of Performance Management System

Performance management system (PMS) has become a popular management technique. It was widely implemented in organizations around the world. PMS reflects two key values which are performance efficiency and management that organizations seek changes in management systems to enhance performance (Moynihan and Pandey, 2005).

Many scholars have defined PMS emphasizing its place in different contexts. PMS is a strategic and integrated approach to managing and improving the performance of individuals, teams and organizations towards long-term organization's goal attainment (Armstrong and Baron, 2003; Busi and Bititci, 2006). To accomplish these goals, organizations emphasize 'the continuous development of the organization's broad strategic capabilities and the specific capabilities of individuals and teams' (CIPD, 2001 cited by Harrison, 2002: 244), but require realistic time periods for these accomplishments (Holloway,

1999). Besides that, PMS were not only merely focus on what to be achieved, but also how it is achieved.

2.4 Individual and organization performance

A PMS aims to increase the performance of both individuals and the organization towards the achievement of organizational targets and objectives (Hume, 2005). PMS also aims to involve organizational members, as individual and members of a group, in improving organizational effectiveness in the achievement of the organizational mission and goals (GAO, 2003).

The performance of an individual can be defined as the achievement level of the individual towards set targets (Hellriegel and Slocum, 1996) and the PMS aligns individual performance expectations with organizational goals by helping individual realize the linkage or the contribution between their daily activities and organizational goals. As a consequence, individuals are encouraged to focus on their roles and responsibilities.

Some scholars defined the management of organizational performance as the management of collective individual performance contribution to organizational effectiveness and the major focus is put on HRM functions (Nankervis and Compton, 2006). The organizational effectiveness referred to the achievement of organizational goals (Selden and Sowa, 2004). Hume (1995) suggested that organizational performance can be referred to as financial performance, customer service, quality of product or service, and efficiency or productivity. He also noted that there are other factors influencing an overall organizational performance. Such factors include the

organizational structure, the quality of product or service, the demand of the customer or consumer, the competitive position, forward planning, technology, and human resources or employees.

2.5 Performance Management System Processes

PMS as an integrated system which comprises of three main ongoing processes: performance planning, managing for performance, and performance evaluation and feedback, as illustrated in Figure 2.1.



Figure 2.1: Performance Management System Process

Figure 2.1 is the process of performance management system process. The first step is performance planning which is concerned with developing an organization's vision, mission, strategy, setting performance goals, identifying performance measures and agreeing on performance details. Planning is a continuous process in performance management and should be executed with great care (Schneier et al., 1987). Planning helps to encourage commitment and understanding by linking the employees' work with the organization's goals and objectives (Schneier et al., 1987).

Second step, managing for performance is the process of delivering agreed performance, monitoring of the progress in achieving objectives, as well as developing training and development plans to support individuals to improve their capabilities and performance. This step distinguishes performance management as a process of performance appraisal as an activity (Schneier et al., 1987). According to Schneier et al. (1987), every employee is responsible for managing his or her own work performance. This involves: (1) maintaining a positive approach to work, (2) updating and revising initial objectives, performance standards and job competency areas as conditions change, (3) requesting feedback from a supervisor, (4) providing feedback to supervisee, (5) suggesting career development experiences, and (6) employees and supervisors working together, managing the performance management process.

Third step, performance evaluation and feedback involve such activities as performance assessment and review, performance feedback, reward and recognition. According to Schneier, Beatty and Baird (1987), the rewarding performance phase include three activities: personnel development, linking to pay and identifying the results or performance.

2.6 Academicians Performance

Job performance is the output or results from the actions carried out from individual after performing a task, which in return, contributing to the achievement of organizational goals (Campbell, Jeffrey & Laurens, 1990). Managing the academician's performance is complicated as academic freedom gives an opportunity to determine their goals based on their expertise. The goals of universities are to disseminate knowledge through activities of teaching, research and community service. Based on the world university rating measurement, research components is the most contributor to set the university as the best university (Abramo, Cicero & D' Angelo, 2012).

The criteria and indicators used adopted by Malaysian public universities are teaching and learning, postgraduate supervision, research and innovation, publication and writing, academic recognition, community services and nation building, consultancy and industrial linkages and administrative roles or contribution to university (Che Omar, Md Yunus, Azman & Mohd Zain, 2014). Due to the criteria, promotion assessment is complex with different weighting of each criteria and different weighting for the level of academicians and types of universities. Previous research states, the inner defiance justice in organizations effected the motivation and academician's creativity (Kallio, 2014).

To that sequence, university management as the policy makers need to take into account the need for justice in assessing the performance of academicians to reinforce positive perceptions to lecturer towards the service given by the university.

2.7 Performance Management System Satisfaction

Satisfaction of performance management has always been an important concern since it would determine the utility of the performance evaluation information by an employee and determine the effectiveness of the implementation of PMS. Ilgen et al. (1979) suggested that employees who are not satisfied with the appraisal mechanism would be much less motivated to use the feedback to improve performance. It is relevant to determine the perceived satisfaction of employee's from PMS since the use of the evaluation information to a large extent would be influenced by the degree of satisfaction of employees.

Also, since this study was conducted in organizations which have a PMS, studying employees' satisfaction from PMS becomes even more significant as any IT advancement will not be of any significant use if it lacks user satisfaction. It was also suggested by (Mohrman & Lawler, 1981) and (Caroll & Schneier, 1982) that employee satisfaction from PMS is a relevant concern in discussion of how technology interacts with PMS. Mount (1983) also argued that positive results would accrue if the employees are satisfied with

the appraisal process and perceive it to be true and fair. Since the true ownership of the PMS in IT organizations lies with the line managers, its successful implementation depends on their level of satisfaction. Risher (2013) also emphasizes that the manager's and employee's experiences affect their expectations regarding PMS and their beliefs would influence their efforts to improve the evaluation process. He also mentions that involving the employees in planning a PMS enhances its face validity and engaging the star performers as 'subject matter experts' adds content validity to the PMS process. This supports the need for studying the perceived satisfaction of employees from the PMS process.

Selected universities in South Africa develop the PMS model in enhancing the potency of their lecturers' work by incorporating seven performance dimensions, namely knowledge, student-teacher relations, organisational skills, communication sciences, subject relevance, assessment procedure and utility of assignments (Molefe, 2010). In Italy, the first integrated assessment of educational activity and research quality was developed at the University of Siena and it possessed a positive impact on behavior and organizational performance (Barnabe and Riccaboni, 2007). In Thailand, the proposed Thai Higher Education Classification Model (THEC) identified classification criteria for National Research Universities (NRU) which consist of research funding, the variety of instructional programs, the level of instructional programs, instructors and research staff body and student body which have significantly statistically influenced research output, citation and research award (Phusavat et al., 2011).

Thus, review of relevant literature indicates that employee satisfaction with the performance management to a large extent would influence the employee's intention to apply the evaluation information and in turn would influence their performance post appraisal.

2.8 Conclusions

As the chapter that attempts to provide an in-depth understanding of how previous studies were done and how the variables were defined and came to be used, this chapter has outlined the literature review which focused on theoretical and conceptual aspects of the research variables. In this chapter, performance management, performance management system and satisfaction of performance management system were discussed elaborately based on a review of past studies supported by empirical evidence. It was explicitly shown through this literature review that process of performance management system which enhances the satisfaction of performance management system. Although there are very few research that relates all these research in a single study, empirical evidence supported by theoretical and conceptual perspectives indicates that there could be some form of association among these constructs.

CHAPTER 3

RESEARCH METHODOLOGY

3.1 Introduction

The purpose of this chapter is to clarify the research design and to discuss the methodological issues used to collect data in this research. The chapter contains important details concerning the selection of participant, credibility and reliability data preparation in this research. The final section discusses the approach to data analysis.

3.2 Research Design

Qualitative research is composed of ‘a set of interpretive, material practices that make the world visible’ in which the researcher studies objects in their everyday context and tries to ‘make sense of, or to interpret, phenomena in terms of the meanings people bring to them’ (Denzin and Lincoln, 2003) and data collection for the qualitative research consists of interviews (Patton, 2002).

3.2.1 Interview

An interview 'is a conversation with a purpose' (Holloway, 1997). Primary data are gathered from interviewees who have direct experience of the studied subject to reflect facts and beliefs (Silverman, 1993) and attention is paid to the interviewees' thoughts (Denscombe, 1998). An opened-ended interview is preferred to facilitate interviewees to respond their views openly, naturally, and afford opportunities for them to raise important concerns or issues (Silverman, 1993).

This research is conducted in-depth semi-structured interviews entirely in the Malay language. With semi-structured interviews, questions are set with flexibility in regard to the order in order to obtain a better response to revealing information or problems (Collis and Hussey, 2003), and prove suitable for complex and open-ended questions (Saunders et al., 2000). The reason to employ semi-structured interviews were based on the idea that it can offer flexibility and individualization to adapt questions in response to the matters raised for further clarification and exploration which promote an 'open discovery' nature in the research (Collis and Hussey, 2003; Patton, 1990).

Before embarking on the data collection process, a letter requesting permission to collect data was sent to the University Human Resource Department. Once the approval was given, the data collection process begins. The researcher approached the participant through telephone. During the

initial contact, the researcher introduced herself and explain on the purpose of conducting the research. Once the respondent agreed to be interviewed, an e-mail was sent the respondent to confirm at the date and time of the interview session.

Before the scheduled interview, a basic information folder containing a cover letter, background of the research and the consent form were sent to the respondent through electronic mail. A day before the scheduled interview, a follow-up call was made to confirm at the date and time for the interview sessions. Some of the respondent requests for the interview questions ahead of time, as they want to be prepared.

During the interview sessions, the researcher began by introducing herself as well as the purpose of the research, depending on the available time of the respondent. The respondent were informed that data gathered solely be used for this research purposes, and they were asked to sign a written consent form before proceeding with the interview. The signed consent form were collected from the respondent right before the interview session begins. After being granted permission to audiotape the interview, the researcher began with the interview session. To help establish the connection with each respondent, the interview sessions began by asking the respondents to share descriptive information about themselves and their organization. This is to get some understanding about the organization and indirectly as an ice breaking before

the session continues. Following this introduction, the researcher proceeded with the interview.

The interview session lasted around one hour to one and a half hour. During the session, the researcher used several types of questions to stimulate responses from the respondent. Patton (2002) as cited in Merriam (2009) suggested 6 types of questions, which are: experience and behaviour, opinion and values, feeling, knowledge, sensory and background/demographic. On the other hand, Strauss, Schatzman, Bucher & Sabshin (1981) identified three types of questions, which are hypothetical, devil's advocate, ideal position, and interpretive questions. For the purpose of this research, the type of questions asked were a combination of both Patton (2002) and Strauss et al. (1981) type of questions. Immediately after each interview, post-interview notes were made to document descriptive verbal and nonverbal behavior of the respondent and to note the reflections of the researcher.

3.3 Interview protocol

In interview protocol, researcher using research questions to guide the questions in order to develop questions that are grounded in the literature review. It also helps to focus or narrow the questions in ways that will create meaningful data. The script for the interview (Appendix A & Appendix B) provides wording that will help to alleviate any concerns the participant might have about confidentiality. The researcher also wants to use the script as the reminder for telling the interviewee a little about their background in

order to begin building rapport. At the end of the interview, going back to the script can help researcher to remember to provide researcher contact information and to relay to the interviewee that there may be a subsequent contact if there is a need to clarify information, ask additional questions, or perform member checking or “soliciting feedback from one’s respondents on the inquirer’s findings.

The questions used in the interview are open-ended questions in order to allow the participant to offer additional information. When using open-ended questions, the participant will might say things that researcher would have never thought to ask and often those things become one of the most important parts in the researcher’s study. Being willing to make adjustments in the interview also allows for the design of the study to emerge as researchers conduct a research. If the researcher goes off reserve from the interview protocol, researchers may find something interesting that they did not expect. The researcher also can add the new question to the remainder of the interviews if it is found that the information that uncovered in the current interview is useful.

3.4 Data collection & Sampling

Purposive sampling methods were used to identify respondent for the study. According to Patton (1990), purposive sampling is based on the assumption that one wants to discover, understand and gain insight. Therefore, the best sample is taken from which respondent can learn the most. The reason of this sampling method is chosen because, according to Merriam (2009), “it reflects

the average person, situation or instance of the phenomenon of interest”. In this way, any respondent that fit the selection criteria could be accepted as a respondent. Selections for purposive sampling were made based on predetermined criteria relevant to a specific research question. In this study, two categories of respondent were selected which is the person in charge of performance management and academicians from each university.

For the respondent of the person in charge for performance management, they were the authority personnel and have the power to make a decision on any matters that relates to the performance management. Besides, it is set to ensure the respondents have the knowledge and understanding of culture in public organizations. Below are the criteria of the person in charge of the performance management:

- i. Working in Department of Registrar, Human Resource Management Unit
- ii. Working experience in the Human Resource Management Unit for at least 5 years

Second category respondent for this research is academicians. The respondents were selected because of their experience as the appraisee of the PMS. Their views of the weaknesses and strengths in the use of PMS were beneficial to reflect the effectiveness of the system. The academicians also were the person who will receive the results of their performance. Therefore,

the effect and consequences will be the feedback of the PMS. The criteria of the academicians are as below:

- i. Working experience as an academician in the public sector for at least 3 years.
- ii. Confirmed in the service for at least 2 years

Therefore, to answer the above research questions and research objectives, this study used a qualitative approach to collect data at university public sector, which is Universiti Malaya (UM), Universiti Putra Malaysia (UPM), Universiti Pertahanan Malaysia (UPNM), Universiti Sains Islam Malaysia (USIM) and Universiti Kebangsaan Malaysia (UKM). In total, 4 employees from Head of Human Resource Department were interviewed as part of this study. The interviews were also conducted with the Head of Faculty or academicians from the selected university. Their feedback on PMS were recorded in order to compare their feedback as a user and admin.

3.5 Data collection procedures

Before embarking on the data collection process, a letter requesting permission to collect data was sent to the University Human Resource Department. Once the approval was given, the data collection process begins. The researcher approached the participant through telephone. During the initial contact, the researcher introduced herself and explain on the purpose of conducting the research. Once the respondent agreed to be interviewed, an e-

mail was sent to the respondent to confirm on the date and time of the interview session.

Before the scheduled interview, a basic information folder containing a cover letter, background of the research and the consent form were sent to the respondent through electronic mail. A day before the scheduled interview, a follow-up call was made to confirm on the date and time for the interview sessions. Some of the respondent requests for the interview questions ahead of time, as they want to be prepared.

During the interview sessions, the researcher began by introducing herself as well as the purpose of the research, depending on the available time of the respondent. The respondent were informed that data gathered solely be used for this research purposes, and they were asked to sign a written consent form before proceeding with the interview. The signed consent form were collected from the respondent's right before the interview session begins. After being granted permission to audiotape the interview, the researcher began with the interview session. To help establish the connection with each respondent, the interview sessions began by asking the respondents to share descriptive information about themselves and their organization. This is to get some understanding about the organization and indirectly as an ice breaking before the session continues. Following this introduction, the researcher proceeded with the interview.

The interview session lasted around one hour to one and a half hour. During the session, the researcher used several types of questions to stimulate responses from the respondent. Patton (2002) as cited in Merriam (2009) suggested 6 types of questions, which are: experience and behavior, opinion and values, feeling, knowledge, sensory and background/demographic. On the other hand, Strauss, Schatzman, Bucher & Sabshin (1981) identified three types of questions, which are hypothetical, devil's advocate, ideal position, and interpretive questions. For the purpose of this research, the type of questions asked were a combination of both Patton (2002) and Strauss et al. (1981) type of questions. Immediately after each interview, post-interview notes were made to document descriptive verbal and nonverbal behavior of the respondent and to note the reflections of the researcher.

3.6 Establishing credibility and reliability

In qualitative research, reliability and credibility are essential criteria for standard of excellence (Slevin, 2002). Reliability and credibility in qualitative research are established through neutrality, confirmability, consistency or dependability, and applicability or transferability (Lincoln & Guba, 1985). In the research process, this researcher aimed at establishing trustworthiness by identifying any researcher's bias that might influence the study (Slevin, 2002). This researcher engaged a purposive sampling for participant selection, but noted that this selection process was based on convenience and on the researcher's judgment that the chosen sample was ideal as rich data sources to answer the research questions (Smith & Noble, 2014). This is a

descriptive qualitative research, which included rich and thick verbatim participants' account. This researcher also employed the techniques of participant validation, such as member checking, by having a participant review the transcribed data to ensure that the researcher's interpretation was a true and valid representation of their responses.

In order to achieve credibility, this researcher increased truth value by reflecting on the researcher's bias to include researcher's reflections and notes during the data collection process, using semi-structured audio recording that could be repeatedly revisited. This researcher increased consistency and neutrality through achieving auditability, providing a clear, detailed and precise description of the research process. This researcher engaged applicability by applying the findings to other context and by providing rich details of the context of the setting of the research (Lincoln & Guba, 1985, Slevin, 2002; Smith & Noble, 2014).

3.7 Data preparation

To prepare and organize the data for this study, all the interviews conducted were transcribed. The researcher assigned a unique code or pseudonym to each participant for the protection of personal identity and information. For improved credibility of the transcript, the researcher performed member checking (Lincoln & Guba, 1985). The researcher also wrote a one-page summary of the initial interpretation of the information obtained from each interview. The participants were given a copy of the transcript and initial

interpretations for review. Through member checking, the researcher gave participants the opportunity to review their transcripts and provide feedback about the accuracy of the initial interpretations of the researcher about the information given through the interviews. The participants had the opportunity to clarify and discuss any mismatch between the researcher's interpretations and the intended meaning of a given information from the transcripts or the interviews. The researcher discussed, through telephone conversation, about any changes that needed to be done after the participants reviewed their respective transcripts.

3.8 Data analysis

Once the data was transcribed, it was then coded, analyzed, interpreted and verified. The process of transcribing the interviews can help the researcher to gain more understanding of the subject from repeatedly listening to and reading the transcribed interviews. Coding the data began once all the data was fully transcribed. The codes applied are keywords which are used to categorize or organize text and are considered an essential part of qualitative research (Sarantakos, 1998). The data was then analyzed, categorized and organized into themes and further sub-themes which emerged through the coding process. The themes which emerged were assigned a specific code accordingly. The next stage involved interpreting the data by identifying any reoccurring themes throughout and highlighting any similarities and differences in the data. The final stage involved data verification, this process involves a process of checking validity of understanding by rechecking the

transcripts and codes again, thus allowing the researcher to verify or modify hypotheses already arrived at previously (Sarantakos, 1998).

3.9 Assumptions

In quantitative studies, assumptions are usually focused on the nature of the data being collected and stated in an objective manner, while in qualitative studies, assumptions are subjective and researcher is interactive with what is being researched. The assumptions of a qualitative study refer to a list of facts that a researcher accepts to be true, but cannot verify, in order to push through with the data analysis (De Stefano, Atkins, Noble, & Heath, 2012; Schenkel, 2012).

There were several assumptions made in this study. First, the researcher assumed that all participants will provide honest and complete answers during data collection. To address this assumption, the researcher reminded the participants once during the start of the interview to try and answer the questions as completely and truthfully as possible. The second assumption was that the researcher can generate themes from the answers of the participants. To address this assumption, the researcher collected as much data as possible for the study while using an interview guide with questions that aligned with the research questions of the study. Because the research

design was a case study, it was assumed that causal inferences are not possible for this study. Nevertheless, the researcher did not need to establish causal inferences to address the purpose and answer the research questions of the study.

3.10 Ethical Considerations

Ethical issues are present in any kind of research. The research procedure forms pressure among the targets of a research to make generalisations for the good of others and it is rights of informants to keep confidentiality. Ethics concerns to doing well and preventing any harm. All researcher are ultimately responsible for protecting the informants. Therefore, it is the role of the researcher to ensure that the standard of ethics is followed. Ethical procedures for this study are:

- i. The informants are well notified about the intention of the research that they are asked to take part and what the researcher hopes to achieve.
- ii. Protection of informants through the informed consent process favors formalised interaction between researcher and participant.
- iii. The researcher needs to be open, honest and unbiased with the informants to avoid any misleading.

- iv. Information that has been received from the informants is remained confidential. By collecting data anonymously and linking the data to no names
- v. The informants are clarified about the risks they may face as a result of being part of the research.
- vi. The informants are clarified about the benefits of participating in the research.
- vii. The informants are allowed to volunteer for an individual evaluation to avoid them deprived of the fear of harmful outcomes.

All the questions were mainly open-ended as it allows the informant to expand their responses appropriately. Before the interview session, the informants were given a Consent Form as a part of the research agreement. The Consent Form consists of specific elements such as 1) the rights of the informants to withdraw from the study at any time, 2) the central reason of the study and the processes to be used in data collection, 3) remarks about protecting the privacy of the informants, 4) a statement about known risks linked with informants in the study, 5) the anticipated benefits to increase for the informants in the study and 6) the signature of the informants as well as the researcher (Creswell, 2007).

In qualitative research, since the researcher relies heavily on collecting data through interviews, observations, written materials and audio visual materials, therefore it is advised that while in the field, the researcher should negotiate access to informants to collect data. The reason is this

communication will contribute to the quality of social interactions between researchers and informants that may facilitate or inhibit access to the information (Field & Morse, 1992).

3.11 Conclusion

This chapter has presented the methodology that used to collect data, how it was analysed, how handled the validity threats and other important aspects of conducting a credible research. The use of case study research is greatly determined by the objectives of the study which are to understand the performance management system process, criteria and strength and weakness in organization public sector.

CHAPTER FOUR

FINDINGS AND DISCUSSION

4.1 Introduction

This chapter will draw upon the main themes and present the findings, which arose out of the interview process and subsequent data analysis and also discussions on the findings. First and foremost, a brief profile of each of the participants is presented. The key themes that emerged following data analysis as a result of feedback on performance management system; strength and weaknesses, the key component of performance management model that could be adopted by public universities in Malaysia and a performance management system model that is most suitable to manage the performance of academicians. All of the themes are interconnected, from analyzing

the data it emerged that performance management system usage impacts the satisfaction of academicians and performance of the university. The findings will be discussed to have a clear situation on performance management model for higher education in Malaysia,

4.2 Participants

4.2.1 University A

- Participant one works as a Registrar Assistant and experienced as a Registrar Assistant for 6 years. His job scope is to manage Standard Performance Management System (SPMS) for academicians and faculty's Key Performance Indicator (KPI).

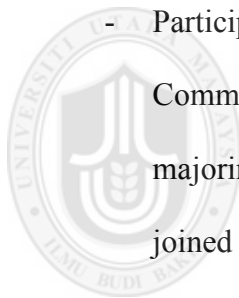
- Participant two is an academician. His experienced as an academician in University A is 12 years. He is majoring in Engineering and become the Head of Engineering Faculty for 2 years. He will execute the KPI from Registrar to his supervisee at the beginning of the year.

- Participant three is an academician from University A for 10 years. He is teaching Information Technology course and user for SPMS since he joined University A.

4.2.2 University B

- Participant four is a registrar from University B for 7 years. Her job scope is to manage KPI for academician. She will execute the KPI's from MoHE to faculty and will collect the results of KPI at the end of the year.

- Participant five is an academician from the Faculty of Communication and served 9 years at University B. She is majoring in Journalism and user for the KPI system since she joined University B.



4.2.3 University C

- Participant six has been an assistant registrar at University C for 5 years. Her job scope is to manage KPI for academician at University C. She is also the person in charge of KPI system.
- Participant seven is an academician from Faculty of Computer Science and served 9 years at University C and user for the KPI system since she joined University C.

4.2.4 University D

- Participant eight has been an assistant registrar at University D for 8 years. His job scope is to manage KPI for academicians at University D. He is also the person in charge of KPI system.
- Participant nine is an academician from Faculty of Engineering and served 7 years at University D. She is a user for the KPI system since she joined University D.

4.2.5 University E

- Participant ten is an assistant registrar at University E for 2 years. His job scope is to manage KPI for academicians at University E. He is also the person in charge of KPI system. He will also update policies and circular relating to employee performance management in University E.
- Participant eleven is an academician from the Faculty of Education and served 5 years at University E. She is a user for the KPI system since she joined University E.

DEMOGRAPHIC VARIABLES	FREQUENCY	PER CENT
Sex:		
• Male	5	45.45%

<ul style="list-style-type: none"> Female 	6	54.55%
Age group:		
<ul style="list-style-type: none"> 31 – 40 years 	5	45.45%
<ul style="list-style-type: none"> 41 – 50 years 	6	54.55%
Years of experience in public sector:		
<ul style="list-style-type: none"> 1 - 4 years 	1	9.09%
<ul style="list-style-type: none"> 5 - 9 years 	8	72.73%
<ul style="list-style-type: none"> 10 – 15 years 	2	18.18%
Years of experience in current position:		
<ul style="list-style-type: none"> 1 – 5 years 	3	27.27%
<ul style="list-style-type: none"> 6 – 10 years 	6	54.55%
<ul style="list-style-type: none"> More than 10 years 	2	18.18%
Current position:		
<ul style="list-style-type: none"> N41 	2	18.18%
<ul style="list-style-type: none"> N48 	3	27.27%
<ul style="list-style-type: none"> DS45 	3	27.27%
<ul style="list-style-type: none"> DS51 	1	9.09%
<ul style="list-style-type: none"> DS53 	2	18.18%

Table 4.1: Participant profile

4.3 Strengths and Weaknesses of Performance Management System

4.3.1 Strengths of Performance Management System

4.3.1.1 Paperless

All of the participants felt that performance management system were benefited to them for saving paper purposes. One participant described the benefits of performance management record in online method.

Key in our performance management in the system will save the paper. Besides that, user of the system managed to edit the documents or prove in the system and submit the edited version through online for many times. I think, by this method, papers can save without printing process.

(Participant five)

She spoke about the effectiveness of recording all the achievement throughout a year in system will benefit the users and facilitate the process of key in performance by individuals.

In my opinion, using PMS is more effective to academicians as the data will be recorded in the online system. A KPI is a confidential matter. Without printing process, the data will be protected in the system and academicians feel secure to record their KPIs.

(Participant nine)

With paperless method, participant three feels secure in keeping his data in PMS. Therefore, it will impart confidence to the participant to record his performance in the PMS.

4.3.1.2 Reference for continuous year

Participants who are using the online system shared their experience that documents or info provided in the system can save and as a reference in future.



Usually, KPI for every year is the same for every year. There were some new KPI added or replace for different year. By referring to the saved document previous year, I can refer the previous achievement as an insight to key in the KPI.

(Participant seven)

By referring to the previous KPI'S, planning for current years will be planned to improve the performance of the users.

Results of KPI for each year will be recorded in history. Therefore, I can extract the previous results for my reference.

I may use the results to plan my performance by plan a strategy to improve the marks for this year. To improve more on competencies, I will improved through training while to improve on particular KPI, I will plan earlier in order to fulfil the requirements.

(Participant three)

Users found that the online system gave more information and history recorded were easy to retrieve.

4.3.1.3 Friendly user

Participants who are using the online system shared their experience that they manage to understand and comfortable to use the system. The system is easy to access and ready to be logged in at anywhere.

I had no problem using the system. It can easily accessible, easy to understand and I can key in my performance data at anywhere, not necessarily at the office, provided with internet connection.

(Participant two)

Experienced in using the online system seems to express the satisfaction among the user. Friendly user concept gave a minor motivation for users to update their performance align with the deadline.

For correction, Head of Faculty may comment for any correction made by their supervisee through the system. This method will enable the supervisee to make a correction by editing the particular item and saving time.



UUM

(Participant one)

Admin of the system feels that the system were managed to save time to complete the appraisal. Comments can be sent anytime through online, even the supervisee were not available at the particular date and time.

4.3.2 Weaknesses of Performance Management System

4.3.2.1 Offline System

University D is computer based, offline system. Academician needs to fill in the form and submit to Head of Faculty.

The process for KPI's submission is, I need to fill in the form shared by faculty, print and submit the details to Head of Faculty for the assessment process. Head of Faculty will gave a feedback and correction need to be made by filling in the form again.

(Participant nine)

Participant nine explained the process for KPI's submission by using offline system. As for now, participant nine hopes for an online system in the future in order to have a smooth process. It is an annual matters that needs to be done every year, it is possible to improve the process.



We are planning to convert the process to online system soon. Due to lack of staff to create the system, the planning to establish the system takes a long time to complete.

(Participant eight)

Efforts to create online systems are being pursued to align with other universities. Some suggestions have also been received to improve the process of performance record.

4.3.2.2 Changes in KPI

Among the universities, the KPI's have been rechecked in the inappropriate month. Due to this matter, Head of Faculty will execute a new KPI to academicians by adding the new KPI and adjust the overall weighting.



This year, I received a new KPI in October. It must be included in this year KPI. I need to plan on how to achieve the KPI as it is nearly at the end of the year. It might affect my performance on the particular KPI due to time constraint. For example, we need to gain a project or collaboration with any organization or others as the addition KPI.

(Participant seven)

Participant seven feels unsatisfied due to the changes of KPI in the inappropriate month. It must be changes at the beginning

of the year in order for academicians to fully achieve their KPI's.

To fulfil the university requirement in improving the university funds, we had added a new KPI to academicians to gain a mutual collaboration with industries and other universities. Therefore, the management has decided to include the task in their KPI as a strategy to achieve the university's requirement.

(Participant six)



Universiti Utara Malaysia

Participant six responses to the issue in changes of KPI in the inappropriate month. By executing the requirement to academicians, it is a strategy of the university to achieve the strategy in improving university funds.

4.4 Key Components of Performance Management System

4.4.1 Performance planning

For this component, collaborative discussion between an employee (academicians) and supervisor (Head of Faculty)

takes place at the beginning of the performance cycle to set clear, mutual expectations about what constitutes successful performance. The discussion should involve the creation of Performance Goals and Development Goals and the setting of Performance Factor expectations. If the superior lack expertise in performance management practices, it would be result in an inability to formulate a performance management framework and failure to implement the strategic plan (Kaplan, 2001).

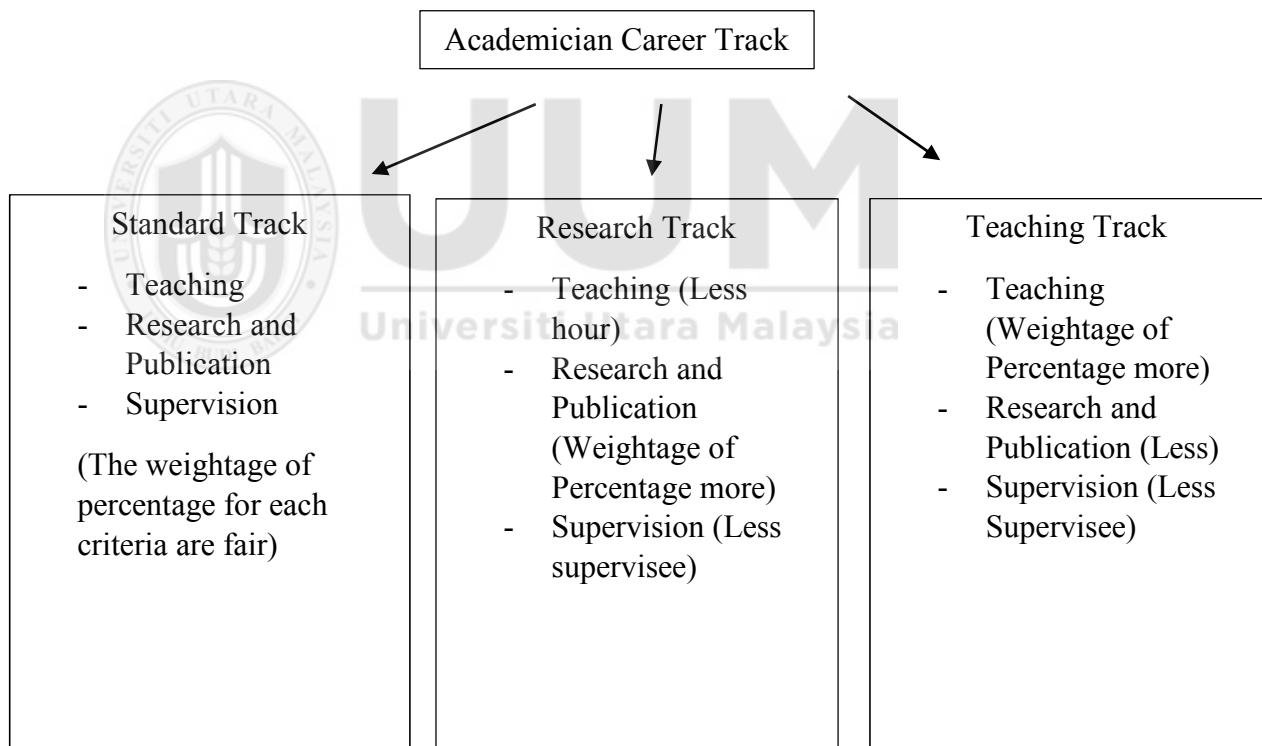


Table 4.2: Career Track for academician at Higher Education in Malaysia

Each university undergoes a different process to set the KPI for each individual. For academician, three main tracks are the most important part which is often discussed to set the KPI. For Research University, research track is the matter of emphasis. While the other universities,

in order to reach a high performance management, research track also will be the main headlines for discussion during KPI distribution.

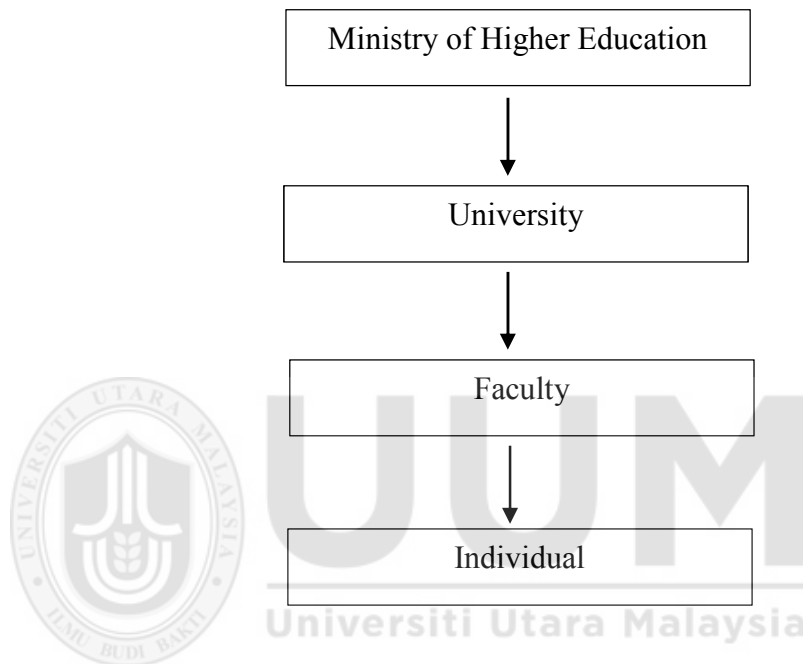


Figure 4.1: Key Performance Indicator Distribution Process for Academicians of Higher Education in Malaysia

At our university, KPI for each lecturer is depends on the Head of Faculty and Dean of each faculty. Head of Faculty and Dean will decide the KPI distribution to their supervisee. From us, we will execute the University's KPI equally to each faculty.

(Participant ten)

Participant ten shared the process of KPI distribution at their universities. KPI distribution depends on how the Head of Faculty and

Dean to achieve their target, either by sharing the KPI's equally for academician or academician will decide their performance setting.

University	KPI's Decision Maker
University A	Academician eligible to decide their own individual KPI, provided to follow the minimum requirement for career track given by faculty.
University B	Academician eligible to decide their own individual KPI, provided to follow the minimum requirement for career track given by faculty.
University C	Academician eligible to decide their own individual KPI, provided to follow the minimum requirement for career track given by faculty.
University D	Academician is not eligible to decide their own individual KPI, it is set by the faculty and equally distributed to academician.
University E	Academician is not eligible to decide their own individual KPI, it is set by the faculty and equally distributed to academician.

Table 4.3: KPI distribution by faculty to academician

In University A, we can decide our own track which we would like to focus. At the beginning of the year, our Head of Faculty will share the KPI's with us. Within the time given, we can plan which area is our

strength and managed to achieve at the end of the year. We had a minimum requirement need to be done, but the weighting of every KPI's can be decided by our self.

(Participant three)

Participant three express that he is satisfied with decision makers. Academic freedom styles gave an opportunity for academicians to plan their performance throughout the year. He felt that he can transfer his strength as academician through the PMS at the end of the year.

For me, I prefer to decide my KPI. It is because I love being as an educator. Teaching is my passion, I really enjoyed teaching. I believe I can perform well in my teaching skills. But, our KPI is limited more to research, as my Head of Faculty execute equally to all of us.

(Participant nine)

It is shown that, participant nine feels frustrated with the styles applied by her faculty. She feels that KPI must be set by the individual as the achievement is depends on the levels of individual abilities.

Other criteria measured by PMS for each university are Academic Leadership and Recognition, which will be evaluated through the awards and recognition received throughout the year and professional

services or academic leadership recognition. Second criteria is internationalization and networking either in national or international level. Research collaboration with international level gave more credit to the academician for their efforts and networking with other researchers. Third criteria will be the administrative duties and leadership which is regarded with administrative tasks and fourth criteria is specific duties given by the faculties. Specific task is assigned by the Head of Faculty or Deans of faculty to assist any task required by the faculty.

Besides KPI, competencies is an essential part of an overall competency management plan. With a competent performance in PMS, supervisor can better motivate staff, align training with university goals, and clearly define roles as well as the skills needed to perform each job well.

There are five basic types of competencies used in PMS in universities, individual competencies, interpersonal competencies, motivational competencies, managerial competencies and analytical competencies. Individual competencies are those the personal abilities such as decision-making, working with teams, confidence, technical know-how, self-motivation skills. Interpersonal competencies involve attributes such as high energy levels, communication skills, teamwork, persuasiveness, and handling problems while the motivational competencies are being a motivator, taking initiatives,

involving others in taking more initiatives, and leading by example. Managerial competencies are those where an individual should possess attributes such as leadership skills, managing people/teams, quick decision-making, addressing problems, analytical skills, and strategic planning and analytical competencies involve attributes such as data analytics, working with numbers, problem solving abilities with a data set and technical know-how.

I think some of the competencies were not valid as the competencies will create a bias. I'm not sure on how my Head of Faculty evaluates us on the competencies as it might be more on personal observations.

Those who are practicing office politic seems to achieve high marks for the competency component.

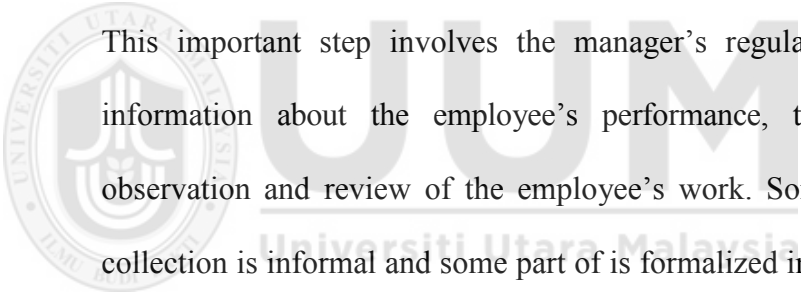
(Participant eleven)

To prevent bias from occurring more among colleagues, action must be taken before it becomes a tradition. This will result the low motivation and dissatisfaction among colleagues.

We had organized a PMS workshop and Roadshows to faculty to explain clearly on the implementation of PMS. It is hoped that the users of PMS manage to understand as well as understand the importance of PMS as a tool to improve the universities and also individually.

(Participant four)

4.4.2 Data Gathering, Observation, and Documentation



This important step involves the manager's regular collection of information about the employee's performance, through regular observation and review of the employee's work. Some of this data collection is informal and some part of is formalized in the integration system and the use of performance rating scales.

We need to undergo mid-year review so that we can check our performance. Usually, it happened in June. We need to key-in our performance until the current date and submit to Head of Faculty. The marks were not given yet, but our supervisor can comment or discuss in any improvement to be made.

(Participant three)

KPI performance will be calculated starting from 1st January to 31st December every year. In between the timeline, there will be a mid-year review to evaluate the performance of individual in order to identify and planned the balance of KPI which were not achieved yet. For mid-year review, some universities will undergo a face to face session with superior to discuss their current performance while the other method, Head of Faculty will respond the performance which has been implemented through the PMS.

We can just retrieve our publication details throughout the year by referring to our integrated system. The integrated system will link to PMS, and we can check the quantity of publication need to publish for the sequence month.

(Participant eleven)

Participant eleven felt the integration system would benefit more in order to record their publication. By this method, participant managed to observe her publication record times by times because the integrated system is ready to be key-in by the user at any time starting at the early year.

4.4.3 Performance Appraisal and Feedback Sessions

Performance management managers and employees need to work together to assess the progress towards the agreed-upon goals. They

need to regularly communicate with each other to identify and remove the barriers to performance. In addition to these some formalized sessions for communicating performance evaluations, often annually, and providing additional performance feedback or counselling also provide a valuable component of performance management.

Usually, we will have a session one-to-one with the Head of Faculty to discuss the final marks given. During this session, academician and Head of Faculty can have a mutual agreement with the marks given. Academician will have a chance to defend themselves if the marks given were not as expected.

(Participant five)

I just accept the marks given by our superior at the end of the year. No discussion with my superior, and we were not given any chance to have a discussion on this matter. Last minute key in is the factor on why we don't have a chance to discuss our performance.

(Participant nine)

Feedback sessions were depending on the Head of Faculty for each university. Participants seem to feel appreciated if they manage to voice out their performance and to justify their weakness in order to improve their performance in the future.

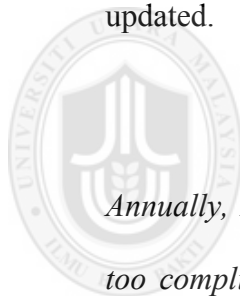
4.4.4 Performance Diagnosis and Coaching

Performance diagnosis and coaching is an important part of a performance management system. This shows that the performance management is not a linear process and the diagnosis as well as coaching can permeate every other part of the performance management system. When it is determined that an employee is falling short of the standards, it is important to find why the problem occurred by identifying the underlying causes of performance problems. The Head of Faculty and the academician should work together to remove the barriers to performance. This kind of coaching or mentoring activity can take place on a regular basis, in addition to being part of the annual performance appraisal and feedback session. The supervisor should keep in mind that performance problems can be caused by a variety of factors not limited to deficits in employee skills, motivational reward system problems, and external constraints.

This system will evaluate me on my competencies and my job performance. With mid-year review, action can be taken earlier, while Head of Faculty will more alert their supervisee performance. It will also be a recommendation from Head of Faculty to Registrar Department if the KPI were difficult to be achieved.

(Participant eleven)

Participant eleven satisfied with the evaluating process done by her superior. Her weaknesses and strength were received by the superior throughout the year and checklist of KPI progress will always be updated.



Annually, I'm doing the same work matters and the challenge is not too complicated. As a result, the marks of my KPI is consistent for every year. Besides that, I didn't receive any feedback or comments from my superior about my performance. For me, I feel comfortable with my position now.

(Participant nine)

Participant nine seems in a comfort zone in her position. Feedback and motivation from superior is not provided. As a result, participant nine were not highly motivated to improve her performance.

4.5 Performance management model to manage the performance of academicians

4.5.1 Balance Score Card Model for Public Universities

To identify measures of institutional performance that could be applied to public universities in Malaysia, the researcher were conducted interviews with the Registrar at the selected public university to identify the institutional performance management model.

In University A, pressure from internal and external environment for the academic and restructuring the performance management require proper strategy and direction. Therefore, in order to implement the strategy into action, the Balance Score Card concept is appropriate to be utilized by our university.

(Participant one)

Participant one shared the model used by University A to deliver a quality graduates and research as well as to fostering the economic and human capital development.

We have four BSC perspectives which could help the university to align plans and strategies. These dimensions help the university to monitor the current performance and overall university's operation strategy.

(Participant six)

Participant six shares the perspectives used by University C in Balance Score Card model. The first perspective is customer perspective, which includes of the initiative to generate the enrollment of international students as well as to gain a collaboration with foreign universities. Second perspective is an internal business process perspective which is an effective learning process and excellent curriculum design. For learning and growth perspective, it includes of focus on training and education of the employees in order to increase their knowledge and skill. For financial perspective, this perspective may include measures such as leverage, program funding, human capital investment, enrollment trend and endowments.

4.5.2 Leadership Model for Head of Faculty at Public Universities

This model explore the relationship between leadership, motivation of faculty members and organizational effectiveness.

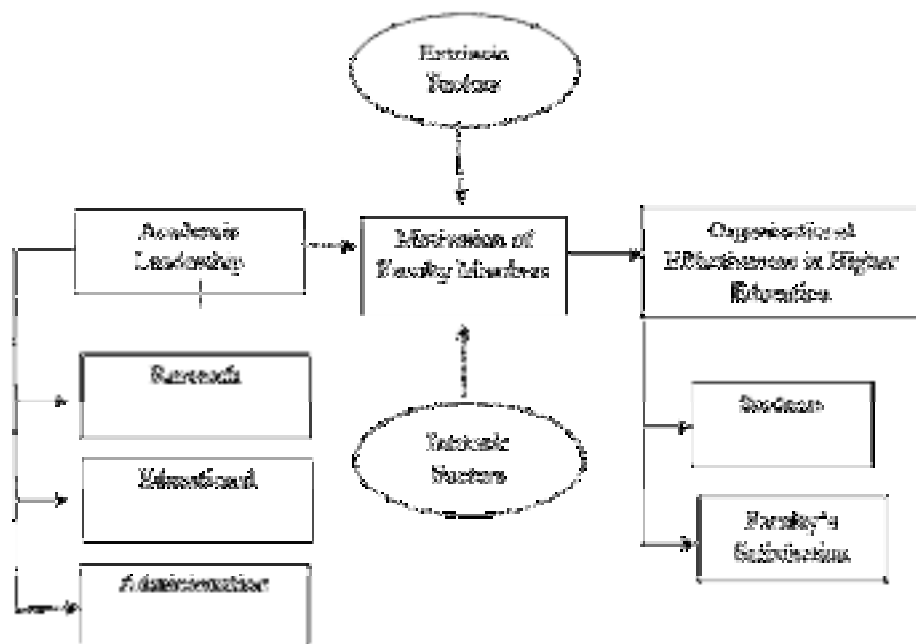


Figure 4.2: Leadership Model

For research leadership, Head of Faculty should raise a research interest among academicians, motivate and act as a team leader to encourage the academicians to fulfil the requirements on research matters.

I was on Research Track. During the mid-year review, my superior were discussing about the progress of my research. By this way, research progress was on track and I was aware of my research progress.

(Participant five)



Head of Faculty of participant five had increase research interest among academicians. Head of Faculty motivate and act as a team leader during mid-year review to encourage the academicians to fulfil the requirements on research matters.

As Head of Faculty, academicians were always reminded to act professionally to students as they are the customer and we as academician play as a role model to our students.

(Participant two)

In Educational Leadership, participant two motivated his appraisee on improving the teaching skills, handling students and usage of technologies to help in teaching. Upgrade knowledge among academicians also an important part as it will improve the knowledge sharing between academicians and students.

Datelines and gentle reminder were emailed to faculty members to retrieve documents needed. This method encouraged academicians to complete their tasks.

(Participant two)

Documents and report need to be completed within deadline. Head of Faculty will motivate the academicians by reminding consistently and provide a clear details on content of the documents needed.

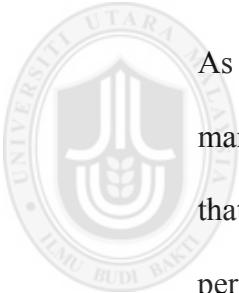
The effectiveness of Academic Leadership leads to maintain the motivational. Head of Faculty need to manage their academicians wisely by providing a feedback on improving their self-development. Extrinsic factors also such as family will also as an indicator of motivational for academicians. A good academicians will manage to provide a positive results on their performance. It will ensure a positive respond by students. Faculty's satisfaction need to be maintain in order to retain academicians in the university. Potential academician who moves to other universities because of dissatisfaction to the faculty is a waste to university as university will

lack of knowledge and skills from a potential academician. With full support, academicians will perform well in their position.

4.6 Discussion

This section will provide an explanation of the findings and clarify why the findings are related to the research and related to other findings.

4.6.1 Understanding the findings in relation to the research questions

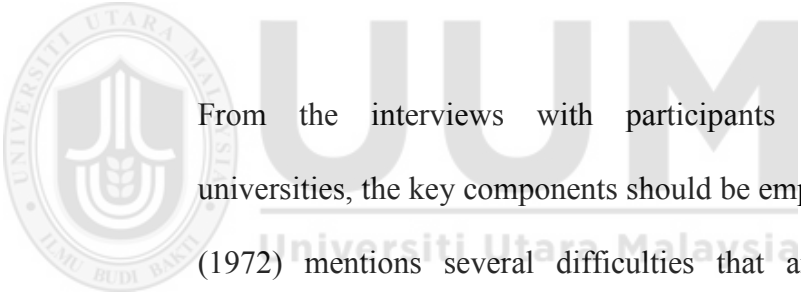


As expected, there were problems arise in using a performance management system. For offline method, the participant feels that it is not the systematic method to summarize the performance throughout the year. With time constraint, academician tends to less interest to key in their achievement. For that reason, the faculty KPis might be not achieved due to low motivation from the employee to provide the details of their achievement.

KPis changing inappropriate time will affect the performance of academician due to lack of communication to discuss on this matter and academician tend to ignore the KPis. KPis need to be planned through communication between the Head of Faculty and academicians, so that the planning can be

achievable and manage to perform. It must be realistic and not set too high.

In contrast, the effect of performance management system by using online is a Head of Faculty may access the performance of academicians through online. Research progress records can be reach by extract the data through the integrated system provided by the university. By this access, every user can track their performance progress. Users need to key in their performance twice a year, which is in mid-year review and at final year for performance appraisal purposes.



From the interviews with participants from selected universities, the key components should be emphasized. Oberg (1972) mentions several difficulties that are common to performance appraisal systems which is the employee request too much from supervisors, bias among the academicians on performance appraisal, lack communication create a dissatisfaction among academicians because they are not aware of how appraisals will be evaluated and feedback with negative work will demotivate academicians. From all the mentioned above, the response from the participant also was related. This will reinforce further the problem statement at Chapter 2.

Due to the matters arise above, a specific model were proposed to be a guideline for management and supervisor level. This is to support the effective way to manage performance management system for academicians. Each university has their own target and various alternatives need to be implemented to achieve the vision and mission of the university. However, the academicians' welfare need to be emphasized as they are one of the largest contributors to universities' performance.



The Balance Scorecard will help to increase the ranking of the universities. By using BSC, university structure will be plan align with university objectives with the support of all faculties and support staff to achieve the same goals. A research also shows that an organization which applied BSC will help the organization on decision making as well as receive a higher quality management information. Meanwhile, the leadership model may help for Head of Faculty styles in administrating the performance of the academicians on their respective faculty. By this model, Head of Faculty also will be prepared and knowledgeable in terms of evaluating the performance. Matters arise among academicians will be

reduced as well as increase the motivation of academician. As a result, faculty's KPI will be achieved and all academicians felt satisfied with their performance.

With the information on strength and weaknesses, this study identifies the key components of performance management to the academicians. With the info, a model was developed as a proposed idea to help in increasing the public universities ranking. This study explored the overall process on the usage of the PMS until the appropriate implementation is disclosed.



4.6.2 Comparisons with previous research

The findings of this research study mirror the findings of previous research carried out to date on the use of performance management system. Research by Abdul Rahman Ahmad & Ng Kim Soon (2015) found that BSC helps the organization to monitor the overall performance and at the same time monitoring the excellent results. In order to follow the competition in a global environment, the strategy of the organization needs to restructure to use existing budget and to achieve the performance. Therefore, the usage of BSC is the

ideal tools for Higher Education to set up the strategy in university and has been widely used in Higher Education.

Besides that, research by Annum Siddique, Hassan Danial Aslam, Mannan Khan & Urooj Fatima (2011) studied the relationship between Academic Leadership, motivation of faculty members and organizational effectiveness in higher education setting. This model will help leader to manage and motivate their staff. The relationship of Academic Leadership, motivation and organizational effectiveness reflect the performance among academicians. In this module, policy and decision making will be decided together as communication plays an important role to manage the performance management.

Research on the Impact of PMS on Employee Performance by Zhang Ying Ying (2012) discovered the insignificant between performance management system and the employee performance. The insignificant results achieve with regards to the negative impact among academicians to the performance management system.

Weightage for academicians need be less down to increase the satisfaction among academicians especially for research track is the findings from the research by Azman, Sirat and Dahlan (2012). Weightage for each criteria need to be transparent and

the evidence of performance needs to be recorded with full of information. The documentation will be used for promotional purposes and the rewards given can be justified based on the evidence. As shown in the study, all academicians aware that the greatest highlighting in the promotion are on research. This will result a high weightage for research matters in order to compete with other universities. To achieve the goals, the universities will set a standard KPis for each faculty. Overall, however the findings of this study provide an understanding of PMS broadly consistent with Abdul Rahman Ahmad's, Annum Siddique's, Zhang Ying Ying's and Azman's studies.



4.7 Conclusion

The purpose of this chapter was to explain the findings and discussion which arose on the interviews between researcher and participant involved. It is clear from the findings of this research study that dissatisfaction arises can affect the performance of academician. Win-win situation among academician and Head of Faculty will gave more benefits and satisfaction as well as the motivation to achieve performance given. At the same time, the goal of the organization will achieve if every individual feels the satisfaction doing their job based on their strength.



CHAPTER FIVE

RECOMMENDATIONS AND CONCLUSIONS

5.1 Recommendations

On the basis of personal observation and discussion, also after going through the literature review and findings helps researcher to analyze the important issues. Therefore, some recommendations can be highlighted to improve the PMS for academicians.

The PMS must be transparent and participation from all academicians needed so that faculties do not get the feedback fake and in genuine. To prevent bias, any inquiries arise is discussed between the Head of Faculty and academicians to have a clear justification for improvement. The impact of bias is the academicians may become upset and turnover happens and motivation to improve will increase if discussion were happening between supervisor and academicians.

Besides that, flexibility in PMS can bring more effective as an individual's needs vary. When PMS is linked to right need satisfaction, it will add more quality. The weightage in KPI decided by academicians will provide more satisfaction to academicians if they were eligible to decide and planned their KPI based on their strength.

The important matters in the PMS is the superiors must be trained in giving feedback and analyzing the data so that the result can be quote accurately. By training, the superiors or Head of Faculty will be firmer and more ethical in evaluating. A good supervisor may explain or brief all the items measured and have their justification on the marks given to their employee.

Another recommendation is performance of employees need to be measured systematically. When the performance assessment instrument is not looked as effective, employees are likely to have increased levels of job burnout and job dissatisfaction. External

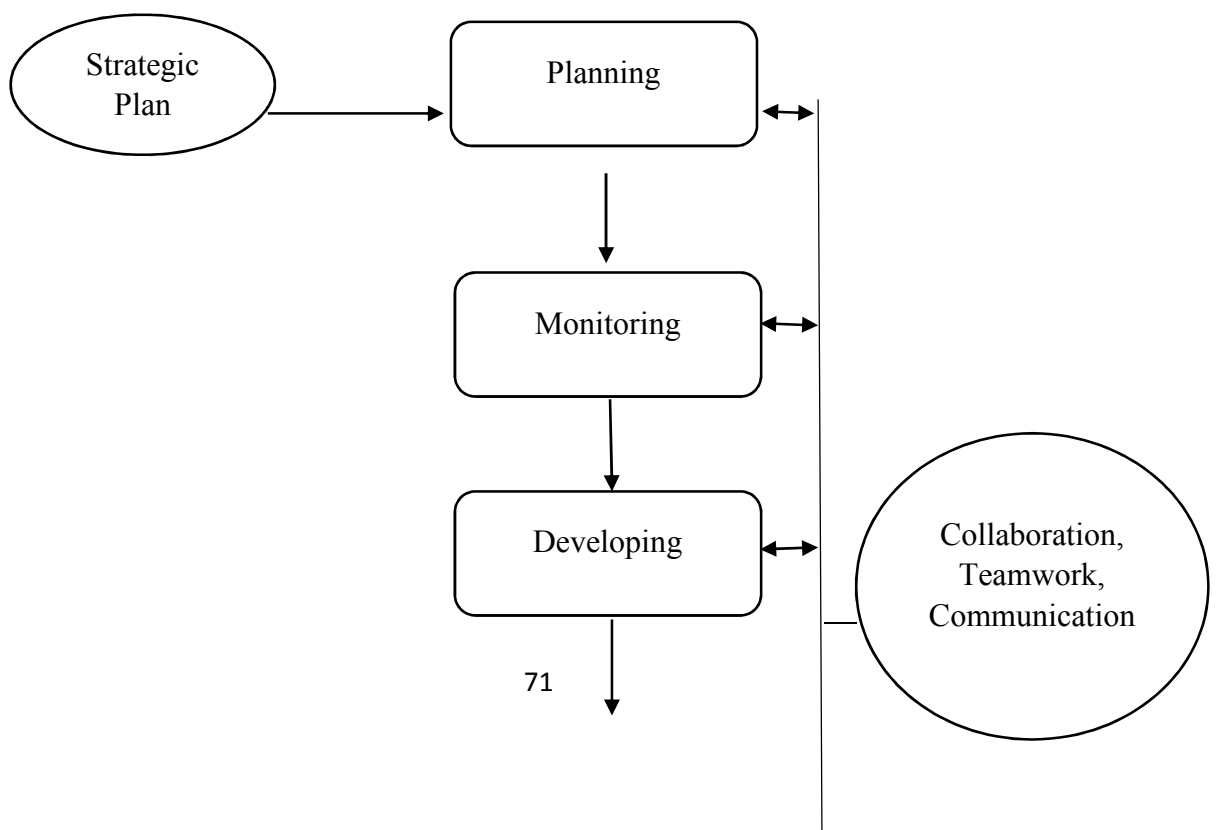
problems such as family or financial problem may affect the performance of the individual. By evaluating through observation or discussion with academician, Head of Faculty may detect the problem arises earlier. Each employee contributes a contribution to their department, and problems arise will affect the contribution. Head of the Faculty may refer their employee to counsellor as an initiative to help the employee.



5.2 Conclusion

From this study, the findings show the lack of communication in setting the target, lack of skills in performance management to be effective and to deliver more value and required outcomes are the challenges in developing an effective PMS. However, it must be recognized that, a holistic performance management system need to be emphasized with a skilful and knowledge leader to manage the performance management system effectively.

In conclusion, based on the findings received from interview sessions with participant, a model of performance management system was created as a guidance to universities to be applied at their respective universities. Carrying out the interviews with the Registrar and Academician for my research was really good since I could understand how the PMS is done, which afforded me some ideas how to improve the system with info's and suggestion from the interview participant.



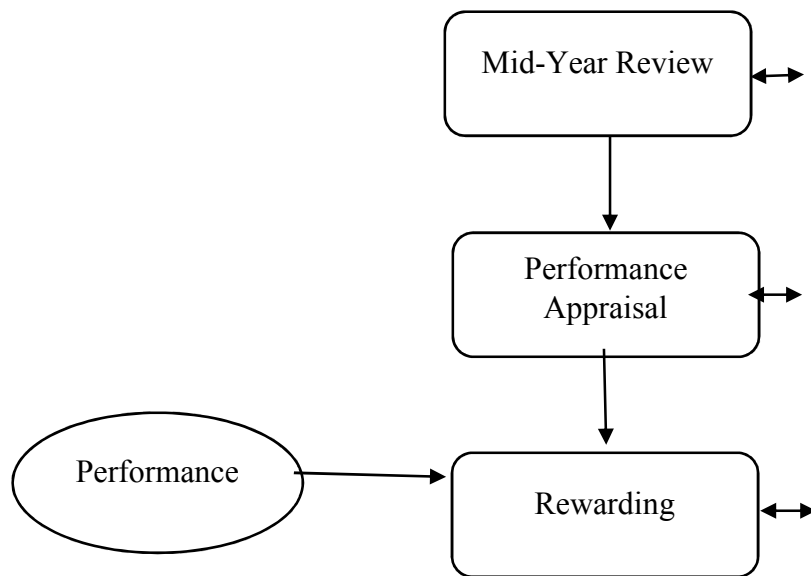


Figure 5.1: Model of performance management system for
Academicians in Malaysian Public Universities



From above figure, strategic plan in developing PMS is starting from the management of the universities who will receive the KPI's from Ministry of Higher Education. KPI's received need to be planned on how to realize the KPI's in line with the vision and mission of the university. By using the balance scorecard approach, KPI's can be divided into each faculty wisely and the main emphasis prominent during the KPI division is the competency of the academic staff to the specified level. Once the strategic plan is completed, the details of KPIs can be shared with the Deans and Head of Faculty. It is responsible up to the Dean and Head of Faculty to plan on how to meet the predetermined KPI.

Planning is the important matters in determining the performance appraisal results to be obtained at the end of the year. Dean and Head of faculty need to brief the standard minimum KPI's which need to be accomplished as well as on how the KPI's will be assessed to each faculty member. To determine the individual KPI's, Head of Faculty needs to discuss personally with academician for goal setting and their job prospect. The academician's voice should be taken into account as it will affect the level of achievement and job satisfaction of the individual. At this stage, the KPI's need to be remain until the end of the year in order for an academician to plan their KPI's throughout the year. Nonetheless, planning on performance need to include the critical and non-critical elements, expected performance and performance standards.

In monitoring process, monitoring needs to be carried out consistently as it may recommend any improvement or suggestion to improve the academician's performance. Results or any task given for certain period needs to be monitored and feedback given for future improvement. For the competencies, Head of Faculty gives a feedback or review in any area or skills to improve. Research matters also require to be monitored consistently to remind or advise the academician to fulfill their requirement. The objective of monitoring is to prevent the occurrence of preparation at the end that will give results did not achieve specified performance or lecturers will ignore these requirements. To deliver an efficient feedback process, two way communication between the Head of Faculty and academicians need to happen. Both academicians and Head of

Faculty need to understand and have a clear goal, so that the action or performance are in line with the planning. After monitoring, development of academicians may be proposed for improvement. To enhance academicians' competencies, training will provide knowledge to academicians in order to polish their potential while to improve the performance of research, academicians may search for any conference or research workshop to educate and sharing ideas and information among academicians. To improve on teaching skills, student's satisfaction survey results from previous year may help academicians to improve their skills based on the scores achieved.

After consistent monitoring and employee development, discussion occur to discuss the efforts and hard work until mid-year. Mid-year review seems to be neglected by the Head of Faculty and academicians in most universities. It is important to conduct a mid-year review as any improvement and suggestion will be discussed between the Head of Faculty and academicians. Academicians may do their checklist of what items left to be done and planning to complete all the requirement. Feedback from Head of Faculty also gives an impact on the improvement of their supervisee. The review conducted is suggested to be done by face to face in order to have a clear explanation and any inquiries can be solved through this discussion. Academicians also will have a room to state the efforts being made and plans for future improvement. Head of Faculty need to be well trained to evaluate the performance to avoid the existence of bias and gain understanding between the superior and supervisee. Each component

in PMS also can be explained and understand by the Head of Faculty so that the scores provided are in line with the performance of the academicians. After the review, monitoring and developing the supervisee continuously occur for future improvement before the final evaluation.

At the end of the year, Head of Faculty need to do a final year appraisal to rate the performance of each academician performance throughout the year. Face to face consultation also needs to be occurring in order to academicians agree with their marks given and Head of Faculty may explain or brief the academicians' performance. In this stage, motivation is the most important element to be applied by the Head of Faculty. It stimulates the human to perform certain action to achieve the desired goal (Tella, Ayeni, and Popoola. 2007). It also helps to stimulate, express and continue a behavior. That behavior is in the creed of achievement of any desired goal, which may result in reward or punishment (Rowntree 1981).

Reward and promotion of academician's performance can be determined through PMS. The rewards will be determined based on the performance appraisal result at the final year. For promotion, Head of Faculty need to recommend the academician based on their outstanding performance and able to demonstrate their capability to adopt greater responsibilities.

Through all the flow in the model above, the important element in making the ideal performance management system are communication, teamwork and collaboration. Without these elements, results of academician's

performance may be not comprehensive. Job satisfaction among academicians and target goals for each faculty will achieve if the three elements were applied among the Head of Faculty and academicians. Teamwork and collaboration among academicians also will prevent the bias issues among faculty members as superior may evaluate them with equitably. Motivation also will increase among academicians with teamwork and collaboration to accomplish their performance together. This will develop a healthy competition to gain a satisfactory result. Besides that, good communication between academicians and Head of Faculty would make reaching a consensus in completing and performing their KPI's.

In addition, a strong and persuading leader is needed to lead faculty members. Head of the Faculty must use various ways to motivate their faculty members and to drain best out of them. As according to Herzberg (1959), employee may become dissatisfied due to absence of extrinsic factors and satisfaction can be achieved due to presence of proper intrinsic factors. So, Head of Faculty must try to reduce dissatisfies so that academicians will perform well in their job. The concept of Academic Leadership has been given by Ramsden (1998) and he suggests that leadership in higher education has features as leadership in teaching, for example, introducing new ideas about teaching, adding excitement teaching and leadership in research. Head of the Faculty must set his own research examples and provide guidance to the faculty members, strategy vision and networking. Head of Faculty also should make clear goals and express to everyone, try to achieve difficult objectives, be opened, delegating tasks

and organize the tasks, praise people work and provide them with feedback and give them support.

The model above clarifies a link between the strength, weaknesses to be improved and suitable model in performance management. It also tells the importance of an ideal performance management system in higher education in Malaysian public universities. The findings of this research are relevant to the wider study of the model that can be used as a reference to management and Head of Faculty to evaluate and manage PMS systematically. It is hoped that the information and feedback given in this study will benefit not to public universities, but to all universities in Malaysia.



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APPENDIX A: INTERVIEW PROTOCOL FOR REGISTRAR

- Introduction
 - Welcome and thank you for giving us some of your time –
 - The interview is anonymous (No names)
 - Do you agree to a recording of this interview?
- Background Questions:
 - Tell me a little about your background.
 - What is your post at this university?
 - How long have you been at this university?
 - What is your job scope in this university?
 - Tell me about the PMS in this university
 - What are performance management practices in your university?
 - What criteria used to determine the performance management to academicians?
 - For each of the criteria mentioned above, what is the method used to get the information?
 - How can information related to performance management be communicated to all academicians?
 - From your experience, do you have any comments about the PMS?
- Closing remarks
 - Thanking respondents
 - Questions towards the interviewer

APPENDIX B: INTERVIEW PROTOCOL FOR ACADEMICIANS

- Introduction
 - Welcome and thank you for giving us some of your time –
 - The interview is anonymous (No names)
 - Do you agree to a recording of this interview?
- Background Questions:
 - Tell me a little about your background.
 - What is your post at this university?
 - How long have you been at this university?
 - What is your job scope in this university?
 - Tell me about your experience in using PMS at this university
 - Is it clear what the university expects from you?
 - Who makes decision on your performance planning?
 - To what extent do you feel involved in the decisions of performance planning?
 - How are you being motivated to fulfil the performance requirement?
 - Who gives you feedback on your work and how often?
 - How is the individual contribution assessed compared to team performance?
 - What can be improved?
 - How do your superior show appreciation for the work you do?
 - What kind of opportunities exist for team members to give feedback and recommendations to higher-management?
 - From your experience, do you have any comments about the PMS?
- Closing remarks
 - Thanking respondents
 - Questions towards the interviewer